

Applicant or Patentee: Peter B. Dervan and Eldon E. Baird  
Serial or Patent No.: To Be Assigned  
Filed or Issued: Herewith  
For: STEREOCHEMICAL CONTROL OF THE DNA BINDING AFFINITY, SEQUENCE SPECIFICITY, AND ORIENTATION-PREFERENCE OF CHIRAL HAIRPIN POLYAMIDES IN THE MINOR GROOVE

VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS  
(37 CFR 1.9(d) and 1.27(c)) - SMALL BUSINESS CONCERN

I hereby declare that I am:

\_\_\_\_\_ the owner of the small business concern identified below:  
☒ an official of the small business concern empowered to act on behalf of the concern identified below:

NAME OF CONCERN: PROLINX, INC.  
ADDRESS OF CONCERN: 22322 20<sup>th</sup> Avenue S.E.  
Bothell, Washington 98021

I hereby declare that the above-identified small business concern qualifies as a small business concern as defined in 13 CFR 121.3-18, and reproduced in 37 CFR 1.9(d) for purposes of paying reduced fees under section 41(a) and (b) of Title 35, United States Code, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third-party or parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention entitled STEREOCHEMICAL CONTROL OF THE DNA BINDING AFFINITY, SEQUENCE SPECIFICITY, AND ORIENTATION-PREFERENCE OF CHIRAL HAIRPIN POLYAMIDES IN THE MINOR GROOVE, by inventors Peter B. Dervan and Eldon E. Baird described in

☒ the specification filed herewith.  
\_\_\_\_\_ application serial number \_\_\_\_\_, filed \_\_\_\_\_  
\_\_\_\_\_ Patent No. \_\_\_\_\_, issued \_\_\_\_\_

If the rights held by the above-identified small business concern are not exclusive, each individual, concern or organization having rights to the invention is listed below\* and no rights to the invention are held by any person, other than the inventor, who could not qualify as a small business concern under 37 CFR 1.9(d) or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

\*NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

NAME: California Institute of Technology  
ADDRESS: 1200 East California Blvd., Pasadena, California 91125  
[ ] INDIVIDUAL [ ] SMALL BUSINESS CONCERN ☒ NONPROFIT ORGANIZATION

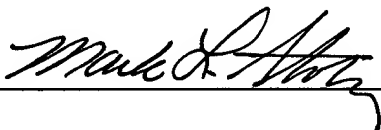
NAME: GeneSoft, Inc.  
ADDRESS: Two Corporate Drive, South San Francisco, California 94080  
[ ] INDIVIDUAL ☒ SMALL BUSINESS CONCERN [ ] NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b)).

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING: MARK L. STOLOWITZ  
TITLE OF PERSON IN ORGANIZATION: CHIEF TECHNOLOGY OFFICER  
ADDRESS OF PERSON SIGNING: 22322 20<sup>th</sup> Avenue S.E.  
Bothell, Washington 98021

Signature



Date

7/27/99

Applicant or Patentee: Peter B. Dervan and Eldon E. Baird  
Serial or Patent No.: To Be Assigned  
Filed or Issued: Herewith  
For: IMPROVED POLYAMIDES FOR BINDING IN THE MINOR GROOVE OF DOUBLE STRANDED DNA

**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS**  
**(37 CFR 1.9(d) and 1.27(e)) - SMALL BUSINESS CONCERN**

I hereby declare that I am:

       the owner of the small business concern identified below:  
☒        an official of the small business concern empowered to act on behalf of the concern identified below:

NAME OF CONCERN: GENESOFT, INC.  
ADDRESS OF CONCERN: Two Corporate Drive  
South San Francisco, California 94080

I hereby declare that the above-identified small business concern qualifies as a small business concern as defined in 13 CFR 121.3-18, and reproduced in 37 CFR 1.9(d) for purposes of paying reduced fees under section 41(a) and (b) of Title 35, United States Code, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third-party or parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention entitled IMPROVED POLYAMIDES FOR BINDING IN THE MINOR GROOVE OF DOUBLE STRANDED DNA, by inventors Peter B. Dervan and Eldon E. Baird described in

☒        the specification filed herewith.  
       application serial number       , filed       .  
       Patent No.       , issued       .

If the rights held by the above-identified small business concern are not exclusive, each individual, concern or organization having rights to the invention is listed below\* and no rights to the invention are held by any person, other than the inventor, who could not qualify as a small business concern under 37 CFR 1.9(d) or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

*\*NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)*

NAME: California Institute of Technology  
ADDRESS: 1200 East California Blvd., Pasadena, California 91125  
☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☒ NONPROFIT ORGANIZATION

NAME: Prolinx, Inc.  
ADDRESS: 22322 20<sup>th</sup> Avenue S.E., Bothell, Washington 98021  
☐ INDIVIDUAL ☒ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b)).

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING: David B. Singer  
TITLE OF PERSON IN ORGANIZATION: President & CEO  
ADDRESS OF PERSON SIGNING: Two Corporate Drive  
South San Francisco, CA 94080

Signature 

Date 8/6/99

Applicant or Patentee: Peter B. Dervan and Eldon E. Baird  
Serial or Patent No.: To Be Assigned  
Filed or Issued: Herewith  
For: STEREOCHEMICAL CONTROL OF THE DNA BINDING AFFINITY, SEQUENCE SPECIFICITY, AND ORIENTATION-PREFERENCE OF CHIRAL HAIRPIN POLYAMIDES IN THE MINOR GROOVE

**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS  
(37 CFR 1.9(e) and 1.27(d)) - NONPROFIT ORGANIZATION**

I hereby declare that I am an official empowered to act on behalf of the nonprofit organization identified below:

NAME OF ORGANIZATION: CALIFORNIA INSTITUTE OF TECHNOLOGY  
ADDRESS OF ORGANIZATION: 1200 East California Boulevard  
Pasadena, California 91125

**TYPE OF ORGANIZATION:**

- ☒ UNIVERSITY OR OTHER INSTITUTION OF HIGHER EDUCATION  
☐ TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 USC 501(a) and 501(c)(3))  
☐ NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA  
(NAME OF STATE: )  
(CITATION OF STATUTE: )  
☐ WOULD QUALIFY AS TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 USC 501(a) and 501(c)(3))  
IF LOCATED IN THE UNITED STATES OF AMERICA  
☐ WOULD QUALIFY AS NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA IF LOCATED IN THE UNITED STATES OF AMERICA  
(NAME OF STATE: )  
(CITATION OF STATUTE: )

I hereby declare that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 CFR 1.9(e) for purposes of paying reduced fees under section 41(a) and (b) of Title 35, United States Code, with regard to the invention entitled STEREOCHEMICAL CONTROL OF THE DNA BINDING AFFINITY, SEQUENCE SPECIFICITY, AND ORIENTATION-PREFERENCE OF CHIRAL HAIRPIN POLYAMIDES IN THE MINOR GROOVE, by inventor(s) Peter B. Dervan and Eldon E. Baird described in

- ☒ the specification filed herewith.  
☐ application serial no. \_\_\_\_\_, filed \_\_\_\_\_.  
☐ patent no. \_\_\_\_\_, issued \_\_\_\_\_.

I hereby declare that rights under contract or law have been conveyed to and remain with the nonprofit organization with regard to the above identified invention.

If the rights held by the nonprofit organization are not exclusive, each individual, concern or organization having rights to the invention is listed below\* and no rights to the invention are held by any person, other than the inventor, who could not qualify as a small business concern under 37 CFR 1.9(d) or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

\*NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

NAME GeneSoft, Inc.  
ADDRESS Two Corporate Drive, South San Francisco, California 94080  
☐ INDIVIDUAL ☒ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

NAME Prolinx, Inc.  
ADDRESS 22322 20th Avenue S.E., Bothell, Washington 98021  
☐ INDIVIDUAL ☒ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING: Adam Cochran  
TITLE OF PERSON IN ORGANIZATION: The Intellectual Property Counsel  
ADDRESS OF PERSON SIGNING: CALIFORNIA INSTITUTE OF TECHNOLOGY  
1200 E. California Blvd., Pasadena, CA 91125

Signature



Date

JUL 27 1999

**DECLARATION  
AND POWER OF ATTORNEY  
Utility Application**

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled **STEREOCHEMICAL CONTROL OF THE DNA BINDING AFFINITY, SEQUENCE SPECIFICITY, AND ORIENTATION-PREFERENCE OF CHIRAL HAIRPIN POLYAMIDES IN THE MINOR GROOVE**, the specification of which

(Check One)

☐  
☒

is attached hereto OR  
was filed on herewith, as United States Application Serial No.  
to be assigned or PCT International Application No. PCT/US98/03829 and  
was amended on \_\_\_\_\_ (if applicable).

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment(s) referred to above.

I acknowledge the duty to disclose information which is material to the patentability of this application in accordance with Title 37, Code of Federal Regulations, § 1.56.

I hereby claim foreign priority benefits under Title 35, United States Code, § 119(a)-(d) or § 365(b) of any foreign application(s) for patent or inventor's certificate, or § 365(a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent or inventor's certificate, or of any PCT international application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application Number(s)	Country	Date of Filing	Priority Claimed	
			Yes	No
97/03332	PCT	February 20, 1997	X	
97/12722	PCT	July 21, 1997	X	

I hereby claim the benefit under Title 35, United States Code § 119(e) of any United States provisional application(s) listed below.

Application Number(s)	Filing Date
60/038,384	February 14, 1997
60/023,309	July 31, 1996
60/024,374	August 1, 1996
60/026,713	September 25, 1996

I hereby claim the benefit under Title 35, United States Code, § 120 of any United States application(s), or § 365(c) of any PCT international application designating the United States of America, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT international application in the manner provided by the first paragraph of Title 35, United States Code, § 112, I acknowledge the duty to disclose information which is material to patentability as defined in Title 37, Code of Federal Regulations § 1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application.

U.S. Parent Application Number	PCT Parent Number	Parent Filing Date	Status-Patented, Pending or Abandoned
08/853,522		May 8, 1997	Pending
08/837,524		April 21, 1997	Pending
08/607,078		February 26, 1996	Pending

POWER OF ATTORNEY: As a named inventor, I hereby appoint as my attorneys and/or agents, with full power of substitution and revocation, to prosecute this application and transact all business in the Patent and Trademark Office connected therewith:

Roland N. Smoot, Reg. No. 18,718; Conrad R. Solum, Jr. Reg. No. 20,467; James W. Geriak, Reg. No. 20,233; Robert M. Taylor, Jr., Reg. No. 19,848; Samuel B. Stone, Reg. No. 19,297; Douglas E. Olson, Reg. No. 22,798; Robert E. Lyon, Reg. No. 24,171; Robert C. Weiss, Reg. No. 24,939; Richard E. Lyon, Jr., Reg. No. 26,300; John D. McConaghy, Reg. No. 26,773; William C. Steffin, Reg. No. 26,811; Coe A. Bloomberg, Reg. No. 26,605; J. Donald McCarthy, Reg. No. 25,119; John M. Benassi, Reg. No. 27,483; James H. Shalek, Reg. No. 29,749; Allan W. Jansen, Reg. No. 29,035; Robert W. Dickerson, Reg. No. 29,914; Roy L. Anderson, Reg. No. 30,240; David B. Murphy, Reg. No. 31,125; James C. Brooks, Reg. No. 29,898; Jeffrey M. Olson, Reg. No. 30,790; Steven D. Hemminger, Reg. No. 30,755; Jerrold B. Reilly, Reg. No. 32,293; Paul H. Meier, Reg. No. 32,274; John A. Rafter, Jr., Reg. No. 31,653; Kenneth H. Ohriner, Reg. No. 31,646; Mary S. Consalvi, Reg. No. 32,212; Lois M. Kwasigroch, Reg. No. 35,579; Lawrence R. LaPorte, Reg. No. 38,948; Robert C. Laurenson, Reg. No. 34,206; Bradford J. Duft, Reg. No. 32,219; Suzanne L. Biggs, Reg. No. 30,158; Richard J. Warburg, Reg. No. 32,327; John M. Johnson, Reg. No. 33,334; Daniel M. Chambers, Reg. No. 34,561; Troy M. Schmelzer, Reg. No. 36,667; Jessica R. Wolff, Reg. No. 37,261; Douglas C. Murdock, Reg. No. 37,549; Jeffrey W. Guise, Reg. No. 34,613; F.T. Alexandra Mahaney, Reg. No. 37,668; Charles S. Berkman, Reg. No. 38,077; Edward M. Jordan, Reg. No. 40,666; John C. Kappos, Reg. No. 37,861; Howard N. Wisnia, Reg. No. 37,502; Keith Kind, Reg. No. 42,735; Stephen S. Korniczky, Reg. No. 34,853; Jonathan T. Losk, Reg. No. 39,755; Theodore S. Maceiko, Reg. No. 35,593; Hope E. Melville, Reg. No. 34,874; Jeffrey A. Miller, Reg. No. 35,874; Kurt T. Mulville, Reg. No. 37,194; Clarke W. Neumann, Reg. No. 39,789; Vicki Norton, Reg. No. 40,745; Kenneth S. Roberts, Reg. No. 38,283; Thomas R. Rouse, Reg. No. 40,793; James K. Sakaguchi, Reg. No. 41,285; James K. Sakaguchi, Reg. No. 41,285; Carol A. Schneider, Reg. No. 34,923; Sheryl R. Silverstein, Reg. No. 40,812; Brent D. Sokol, Reg. No. 38,621; Jeffrey D. Tekanic, Reg. No. 36,031; Christopher A. Vanderlaan, Reg. No. 37,747; David E. Wang, Reg. No. 38,358; Lisa Ward Karmelich, Reg. No. 41,421; Michael J. Wise, Reg. No. 34,047; Wesley B. Ames, Reg. No. 40,893; Charles Balgenorth, Reg. No. 37,586; Thomas J. Brindisi, Reg. No. 40,348; James P. Brogan, Reg. No. 35,833; David T. Burse, Reg. No. 37,104; Bruce G. Chapman, Reg. No. 33,846; Farshad Farjami, Reg. No. 41,014; Charles C. Fowler, Reg. No. 39,675; and Corrine M. Freeman, Reg. No. 37,625.; of LYON & LYON, 633 West Fifth Street, Suite 4700, Los Angeles, California 90071-2066 telephone (619) 552-8400.

Send Correspondence to: Richard J. Warburg	LYON & LYON LLP 633 W Fifth St., Suite 4700 Los Angeles, CA 90071	Direct Telephone calls to: (619) 552-8400
---	---	--

	FULL NAME OF INVENTOR	FIRST Name Eldon	MIDDLE Initial E.	LAST Name Baird	
201	RESIDENCE & CITIZENSHIP	City Foster City	State or Foreign Country California	Country of Citizenship USA	
	POST OFFICE ADDRESS	311 Halyard Lane	City Foster City	State or Country California	Zip Code 94404
	FULL NAME OF INVENTOR	FIRST Name Peter	MIDDLE Initial B.	LAST Name Dervan	
202	RESIDENCE & CITIZENSHIP	City San Marino	State or Foreign Country California	Country of Citizenship USA	
	POST OFFICE ADDRESS	1235 St. Albans Road	City San Marino	State or Country California	Zip Code 91108
	FULL NAME OF INVENTOR	FIRST Name	MIDDLE Initial	LAST Name	
203	RESIDENCE & CITIZENSHIP	City	State or Foreign Country	Country of Citizenship	
	POST OFFICE ADDRESS		City	State or Country	Zip Code
	FULL NAME OF INVENTOR	FIRST Name	MIDDLE Initial	LAST Name	

I further declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements are made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Title 18, United States Code §1001, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Signature of Inventor	201
Date 8-6-99	
Signature of Inventor	202
Date	
Signature of Inventor	203
Date	

Signature of Inventor	204
Date 8-6-99	
Signature of Inventor	205
Date	
Signature of Inventor	206
Date	

(Signatures should conform to names as presented at 201 et seq. above.)